

Sample Chapter with Headers and Transmittal Sheet

Instructions: Follow format below and replace information within brackets {} with appropriate information that applies to your chapter.

NIH POLICY MANUAL

{Chapter Number} – {Chapter Name}

Issuing Office: {Organization Acronym}, {Phone Number}

Release Date: {xx/xx/xx}

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1. **Explanation of Material Transmitted:** **{Revision or New:}** Insert brief statement about chapter content and provide a summary of revisions. **Rescission:** Insert description of why the chapter is being rescinded and where the audience could find guidance relating to the subject matter. (i.e. <http://oma.od.nih.gov/manualchapters/contracts/6019-1/>)

2. **Filing Instructions:**

Remove: Manual Issuance **{Chapter Number}**, dated **{xx/xx/xx}**

Insert: Manual Issuance **{Chapter Number}**, dated **{xx/xx/xx}**

PLEASE NOTE: For information on:

- Content of this chapter, contact the issuing office listed above.
 - NIH Manual System, contact the Division of Management Support, OMA on 301-496-2832, or enter this URL: <http://oma.od.nih.gov/manualchapters>.
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DATE: {MM/DD/YY}

REPLACES: {}

ISSUING OFFICE: {Organization ACRONYM} {phone number}

{CHAPTER TITLE}

Instructions: Follow format below and replace information within brackets {} with appropriate information that applies to your chapter. These section headings are for an example and can vary. However, Records Retention and Internal Control sections are required.

A. Purpose:**B. Background:****C. Policy:****D. References:**

1. NIH Manual Chapter 1743 – Keeping and Destroying Records:
<http://oma.od.nih.gov/manualchapters/management/1743/>

E. Definitions:**F. Responsibilities:** (Example of Formatting for descending parts)

1. (Text)
 - a. (Text)
 - (1) (Text)
 - (a) (Text)

G. Procedures:

Note: The procedures section of the manual chapter is designated to provide a general explanation only and is not to include a Standard Operating Procedure (SOP). Any SOP that is to be included in the chapter is to be added as an appendix. Appendices can be easily updated as needed without formal Office of General Counsel (OGC) review.

H. Records Retention and Disposal:

All records (e-mail and non-e-mail) pertaining to this chapter must be retained and disposed of under the authority of NIH Manual 1743, "Keeping and Destroying Records, Appendix 1, NIH Records Control Schedule, Section ____, Item ____ {insert as appropriate or check with your IC Records Liaison.}

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NIH e-mail messages, including attachments that are created on NIH computer systems or transmitted over NIH networks that are evidence of the activities of the agency or have informational value are considered Federal records. These records must be maintained in accordance with current NIH Records Management guidelines. Contact your IC Records Liaison or the NIH Records Officer for additional information.

All e-mail messages are considered Government property, and, if requested for a legitimate Government purpose, must be provided to the requester, employees' supervisor, NIH staff conducting official reviews or investigations, and the Office of Inspector General who may request access to or copies of the e-mail messages. E-mail messages must also be provided to Congressional oversight committees if requested and are subject to Freedom of Information Act requests. Back-up files are subject to the same information requests as original messages and documents.

I. Internal Controls:

The purpose of this manual issuance is to {you describe the purpose}.

1. **Office Responsible for Reviewing Internal Controls Relative to this Chapter:** {you must insert the name of the issuing office}

{ You list the issuing office and any other offices that will share responsibility for coordinating the review procedure to ensure appropriate internal controls are in place for the chapter. If an office outside of the issuing office is given responsibility for reviewing internal controls, the issuing office must have documentation of the other office's concurrence. }

2. **Frequency of Review (in years):**

{ You state how often the review will be required. This will be dependent on the level of risk posed if the chapter were not accurately followed (generally between 1-5 years). The preferred option is to have controls “built into” automated systems so there is an ongoing control/reporting capability. (The issuing component should confer with OMA in developing the review schedule.) }

3. **Method of Review:**

{ You determine the type of review that most appropriately provides the program area the necessary documentation to show that the ICs are generally in compliance with manual chapter. }

DATE: {MM/DD/YY}

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Type of Review (you describe): [For example, an issuing component may decide to initiate an internal Risk Assessment (RA). If the findings of the RA were low risk, a 3-5 year follow-up review would be appropriate. However, if the findings indicated a medium or high risk, a 1-2 year follow-up review would be appropriate. Again, the preferred review option is to have controls built into automated systems, such as the NIH Business and Research Support System, so there is an ongoing review of the ICs compliance with the chapter. Reviews conducted should include a small sample of IC activities related to the chapter to ensure they are in compliance. When appropriate, reviews conducted by the OIG/GAO or program area may be used as an alternative internal control review. Issuing components should confer with OMA for additional guidance.]

4. Review Reports are sent to:

{ Reports are sent to the NIH senior official responsible for the area covered by the chapter, i.e., Deputy Director for Management (DDM) for management/general administration, Deputy Director for Extramural Research (DDER) for extramural research, Deputy Director for Intramural Research (DDIR) for intramural research, NIH Chief Information Officer for information technology policy, NIH Deputy Chief Finance Officer for finance and travel policy, and Director of Human Resources, NIH, for human resource policy. A copy of all review reports must also be forwarded to the DDM. If a chapter review covers more than one of these areas, a copy must be sent to the senior official for each of these areas. }